



PTO/SB/084(08-03)  
Approved for use through 07/31/2005. OMB 0651-0031  
US Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  
**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Use as many sheets as necessary)

Complete if Known

|                      |                         |
|----------------------|-------------------------|
| Application Number   | 09/945,184              |
| Filing Date          | August 31, 2001         |
| First Named Inventor | Knight, Timothy         |
| Group Art Unit       | 3628                    |
| Examiner Name        | Siegfried E. Chencinski |

Sheet 1 of 1

Attorney Docket No: 0006-003002

**US PATENT DOCUMENTS**

| Examiner Initial * | Cite No. * | USP Document Number | Publication Date | Name of Patentee or Applicant of cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|------------|---------------------|------------------|---|---|
| SA                 |            | US-20020069190A1    | 06/06/2002       | Geiselhart, Reinhold                            |   |
|                    |            | US-20020087388A1    | 07/04/2002       | Keil, Sev , et al.                              |   |
|                    |            | US-20020165759A1    | 11/07/2002       | Gruber, Harry , et al.                          |   |
|                    |            | US-20040015387A1    | 01/22/2004       | Nishikawa, Akihito                              |   |
|                    |            | US-20040073476A1    | 04/15/2004       | Donahue, Derek , et al.                         |   |
|                    |            | US-5,583,763        | 12/10/1996       | Atcheson, J. , et al.                           |   |
|                    |            | US-5,819,028        | 10/06/1998       | Manghirmalani, Ravi , et al.                    |   |
|                    |            | US-5,845,266        | 12/01/1998       | Lupien, William                                 |   |
|                    |            | US-5,870,090        | 02/09/1999       | Takai, Yasuyuki , et al.                        |   |
|                    |            | US-5,918,216        | 06/29/1999       | Miksovsky, Jan T., et al. .                     |   |
|                    |            | US-5,923,307        | 07/13/1999       | Hogle, IV, Francis M.                           |   |
|                    |            | US-5,923,327        | 07/13/1999       | Smith, C. D., et al.                            |   |
|                    |            | US-5,956,019        | 09/21/1999       | Bang, Eric S., et al.                           |   |
|                    |            | US-5,977,973        | 11/02/1999       | Sobeski, David A., et al.                       |   |
|                    |            | US-5,982,302        | 11/09/1999       | Uro, Michael J.                                 |   |
|                    |            | US-5,999,177        | 12/07/1999       | Martinez, A. E.                                 |   |
|                    |            | US-6,012,042        | 01/04/2000       | Black, T. K., et al.                            |   |
|                    |            | US-6,026,399        | 02/15/2000       | Kohavi, Ron , et al.                            |   |
|                    |            | US-6,028,601        | 02/22/2000       | Machiraju, N. , et al.                          |   |
|                    |            | US-6,055,514        | 04/25/2000       | Wren, Stephen                                   |   |
|                    |            | US-6,064,984        | 05/16/2000       | Ferguson, Mark , et al.                         |   |
|                    |            | US-6,101,484        | 08/08/2000       | Halbert, Richard , et al.                       |   |
|                    |            | US-6,119,101        | 09/12/2000       | Peckover, Douglas                               |   |
|                    |            | US-6,189,019        | 02/13/2001       | Blumer, Thomas P., et al.                       |   |
|                    |            | US-6,208,339        | 03/27/2001       | Atlas, Marshall , et al.                        |   |
|                    |            | US-6,237,006        | 05/22/2001       | Weinberg, Amir , et al.                         |   |
|                    |            | US-6,313,833        | 11/06/2001       | Knight, T. O.                                   |   |
|                    |            | US-6,430,542        | 08/06/2002       | Moran, William                                  |   |
|                    |            | US-6,460,036        | 10/01/2002       | Herz, F. S M.                                   |   |
|                    |            | US-6,484,152        | 11/19/2002       | Robinson, Herbert W.                            |   |
|                    |            | US-6,510,419        | 01/21/2003       | Gatto, Joseph                                   |   |
|                    |            | US-6,539,361        | 03/25/2003       | Richards, Bruce , et al.                        |   |
|                    |            | US-6,556,989        | 04/29/2003       | Naimark, Michael , et al.                       |   |
|                    |            | US-6,601,044        | 07/29/2003       | Wallman, Steven                                 |   |
|                    |            | US-6,714,929        | 03/30/2004       | Michaelian, Fadi , et al.                       |   |
|                    |            | US-6,778,193        | 08/17/2004       | Blebesheimer, Debra , et al.                    |   |
|                    |            | US-6,803,926        | 10/12/2004       | Lamb, Steven , et al.                           |   |

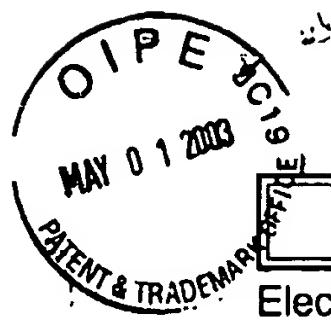
EXAMINER

DATE CONSIDERED

12/14/05

Substitute Disclosure Statement Form (PTO-1449)

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
Stylesheet Version v18.0

|  |                                   |   |            |                |      |       |          |
|--|-----------------------------------|---|------------|----------------|------|-------|----------|
| Title of Invention   | Stock trading application program |   |            |                |      |       |          |
| Application Number:  | 09/945184                         |  |            |                |      |       |          |
| Confirmation Number:   | 4257                              |   |            |                |      |       |          |
| First Named Applicant:   | Timothy Knight                    | <b>RECEIVED</b>   |            |                |      |       |          |
| Attorney Docket Number:  | PROP 98002C                       | MAY 05 2003   |            |                |      |       |          |
| Examiner:  | Jeffrey Pwu                       | <b>GROUP 3600</b>   |            |                |      |       |          |
| Search string:   | ( 6031537 or 6363377 ).pn.        |   |            |                |      |       |          |
| US Patent Documents  |                                   |   |            |                |      |       |          |
| Note: Applicant is not required to submit a paper copy of cited US Patent Documents  |                                   |   |            |                |      |       |          |
| init   | Cite.No.                          | Patent No.  | Date       | Patentee       | Kind | Class | Subclass |
| ZSA  | 1                                 | 6031537   | 2000-02-29 | Hugh           |      |       |          |
| ZA   | 2                                 | 6363377   | 2002-03-26 | Kravets et al. |      |       |          |
| Signature  |                                   |   |            |                |      |       |          |
| Examiner Name  |                                   |   |            | Date           |      |       |          |
|  |                                   |   |            | 12/14/05       |      |       |          |

|  |  |  |                           |
|--|--|--|---------------------------|
| Form PTO-1449<br>(REV. 7-92)   | U.S. DEPARTMENT OF COMMERCE<br>Patent and Trademark Office | Attorney's Docket Number:<br>PROP 98002C | Serial No.:<br>09/945,184 |
| <b>INFORMATION DISCLOSURE STATEMENT<br/>BY APPLICANT</b><br><small>(use several sheets if necessary)</small> |  | Group 2100                               |                           |
| <i>OIPR 65</i><br>DEC 17 2001<br>PATENT & TRADEMARK OFFICE   |  | DEC 1 9 2001                             | RECEIVED                  |
|  |  | Filing Date: 8/31/01                     | Group Art Unit : 2173     |

### U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | DOCUMENT NUMBER |   |   |   |   |   |   | DATE     | NAME          | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|-------------------|-----------------|---|---|---|---|---|---|----------|---------------|-------|----------|----------------------------|
| TKA               | 6               | 2 | 5 | 6 | 0 | 3 | 2 | 7/3/01   | Hugh          | 345   | 357      | 1/19/00                    |
| TKA               | 6               | 2 | 0 | 8 | 9 | 8 | 5 | 3/27/01  | Krehel        | 707   | 3        | 7/10/97                    |
| TKA               | 6               | 1 | 6 | 9 | 9 | 8 | 5 | 1/2/01   | Almgren       | 707   | 4        | 5/29/98                    |
| TKA               | 6               | 1 | 3 | 3 | 9 | 1 | 4 | 10/17/00 | Rogers et al. | 345   | 334      | 1/7/98                     |
| TKA               | 6               | 0 | 9 | 4 | 6 | 4 | 8 | 7/25/00  | Aalbersberg   | 707   | 3        | 9/3/97                     |
| TKA               | 6               | 0 | 2 | 3 | 2 | 7 | 3 | 2/8/00   | Cox et al.    | 345   | 339      | 3/30/98                    |
| TKA               | 6               | 0 | 2 | 1 | 3 | 9 | 7 | 2/1/00   | Jones et al.  | 705   | 36       | 12/2/97                    |
| TKA               | 6               | 0 | 1 | 4 | 6 | 6 | 4 | 1/11/00  | Fagin et al.  | 707   | 5        | 8/29/97                    |

### FOREIGN PATENT DOCUMENTS

|  | DOCUMENT NUMBER |  |  |  |  |  |  | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
|--|-----------------|--|--|--|--|--|--|------|---------|-------|----------|-------------|
|  |                 |  |  |  |  |  |  |      |         |       |          |             |
|  |                 |  |  |  |  |  |  |      |         |       |          |             |

### OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

|     |  |
|-----|--|
| TKA | Shneiderman, Ben, "Designing the User Interface: Strategies for Effective Human-Computer Interaction", (Addison Wesley Longman, Inc., 1998), pp. 79-89; 186-213; 235-261; 325; 391-397; 522-541. |
|     | Li, Jia et al., "Data Object and Label Placement for Information Abundant Visualizations," University of Maryland, August 27, 1998, pp. 1-14.  |
| TKA | Swan, Russell et al., "Evaluating a Visual Information Retrieval Interface: AspInquiry at TREC-6," presented at Workshop on Information Exploration at CHI 98, 1998, pp. 1-5.                    |
|     | Fishkin, Ken et al., "Enhanced dynamic queries via movable filters," In Human Factors in Computing Systems (CHI '95 Proceedings), pp. 415-420. New York: ACM Press.                              |

|          |                  |                 |                 |
|----------|------------------|-----------------|-----------------|
| EXAMINER | <i>TKA Appl.</i> | DATE CONSIDERED | <i>12/14/05</i> |
|----------|------------------|-----------------|-----------------|

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449  
(REV. 7-92)U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAttorney's Docket Number:  
PROP 98002CSerial No.:  
09/945,184**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

(Use several sheets if necessary)



Applicant(s): Timothy Orr Knight

Filing Date: 8/31/01 Group Art Unit : 2173

**U.S. PATENT DOCUMENTS**

| *EXAMINER INITIAL | DOCUMENT NUMBER |   |   |   |   |   |   | DATE     | NAME               | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|-------------------|-----------------|---|---|---|---|---|---|----------|--------------------|-------|----------|----------------------------|
| KSA               | 6               | 0 | 1 | 4 | 6 | 6 | 1 | 1/11/00  | Ahlberg et al.     | 707   | 3        | 5/2/97                     |
|                   | 5               | 9 | 9 | 9 | 1 | 9 | 3 | 12/7/99  | Conley et al.      | 345   | 440      | 1/24/97                    |
|                   | 5               | 9 | 8 | 3 | 2 | 2 | 0 | 11/9/99  | Schmitt            | 707   | 5        | 11/14/96                   |
|                   | 5               | 9 | 6 | 6 | 1 | 2 | 6 | 10/12/99 | Szabo              | 345   | 348      | 12/23/96                   |
|                   | 5               | 9 | 3 | 3 | 8 | 3 | 0 | 8/3/99   | Williams           | 707   | 100      | 5/9/97                     |
|                   | 5               | 9 | 3 | 3 | 1 | 4 | 5 | 8/3/99   | Meek               | 345   | 348      | 4/17/97                    |
|                   | 5               | 9 | 1 | 8 | 2 | 1 | 7 | 6/29/99  | Maggioncalda et al | 705   | 36       | 12/10/97                   |
| ✓                 | 5               | 9 | 1 | 1 | 1 | 3 | 8 | 6/8/99   | Li et al.          | 707   | 3        | 6/4/93                     |

**FOREIGN PATENT DOCUMENTS**

|  | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
|--|-----------------|------|---------|-------|----------|-------------|
|  |                 |      |         |       |          |             |
|  |                 |      |         |       |          |             |

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |  |
|--|--|
|  |  |
|  |  |
|  |  |
|  |  |

EXAMINER: *Krist Apple* DATE CONSIDERED *12/14/05*

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |  |  |                           |
|---|--|--|---------------------------|
| Form PTO-1449<br>(REV. 7-92)  | U.S. DEPARTMENT OF COMMERCE<br>Patent and Trademark Office | Attorney's Docket Number:<br>PROP 98002C | Serial No.:<br>09/945,184 |
| <b>INFORMATION DISCLOSURE STATEMENT</b><br><b>BY APPLICANT</b><br>(Use several sheets if necessary) |  | Applicant(s): Timothy Orr Knight         |                           |
|   |  | Filing Date: 8/31/01                     | Group Art Unit : 2173     |



### U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | DOCUMENT NUMBER |   |   |   |   |   |   | DATE     | NAME           | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|-------------------|-----------------|---|---|---|---|---|---|----------|----------------|-------|----------|----------------------------|
| XSL               | 5               | 8 | 4 | 1 | 4 | 3 | 7 | 11/24/98 | Fishkin et al. | 345   | 346      | 6/7/95                     |
|                   | 5               | 8 | 3 | 8 | 3 | 1 | 7 | 11/17/98 | Bolnick        | 345   | 339      | 6/30/95                    |
|                   | 5               | 7 | 9 | 4 | 1 | 7 | 8 | 8/11/98  | Caid et al.    | 704   | 9        | 4/12/96                    |
|                   | 5               | 7 | 6 | 1 | 6 | 5 | 6 | 6/2/98   | Ben-Shachar    | 707   | 4        | 6/26/95                    |
|                   | 5               | 7 | 5 | 1 | 2 | 8 | 6 | 5/12/98  | Barber et al.  | 345   | 348      | 1/24/97                    |
|                   | 5               | 7 | 2 | 1 | 9 | 0 | 0 | 2/24/98  | Banning et al. | 395   | 604      | 7/20/92                    |
|                   | 5               | 6 | 6 | 8 | 9 | 6 | 6 | 9/16/97  | Ono et al.     | 345   | 356      | 1/31/95                    |
| ✓                 | 5               | 6 | 2 | 7 | 9 | 7 | 9 | 5/6/97   | Chang et al.   | 395   | 335      | 6/18/94                    |

### FOREIGN PATENT DOCUMENTS

|  | DOCUMENT NUMBER |  |  |  | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
|--|-----------------|--|--|--|------|---------|-------|----------|-------------|
|  |                 |  |  |  |      |         |       |          |             |
|  |                 |  |  |  |      |         |       |          |             |

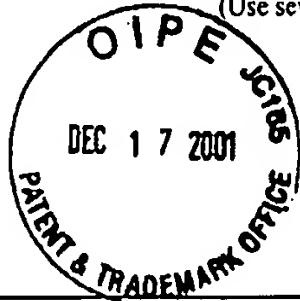
### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|          |  |                 |
|----------|--|-----------------|
| EXAMINER |  | DATE CONSIDERED |
|          |  |                 |
|          |  |                 |
|          |  |                 |

|   |                    |                 |                 |
|---|--------------------|-----------------|-----------------|
| EXAMINER:   | <i>Kurt Doppke</i> | DATE CONSIDERED | <i>12/14/05</i> |
| Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                    |                 |                 |

Form PTO-1449  
(REV. 7-92)U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAttorney's Docket Number:  
PROP 98002CSerial No.:  
09/945,184**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

(Use several sheets if necessary)



Applicant(s): Timothy Orr Knight

Filing Date: 8/31/01 Group Art Unit : 2173

**U.S. PATENT DOCUMENTS**

| *EXAMINER INITIAL | DOCUMENT NUMBER |   |   |   |   |   |   | DATE     | NAME          | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|-------------------|-----------------|---|---|---|---|---|---|----------|---------------|-------|----------|----------------------------|
| KSA               | 5               | 5 | 1 | 5 | 4 | 8 | 8 | 5/7/96   | Hoppe et al.  | 395   | 140      | 8/30/94                    |
| J                 | 5               | 2 | 5 | 7 | 1 | 8 | 5 | 10/26/93 | Farley et al. | 364   | 419.19   | 5/21/90                    |
|                   | 4               | 8 | 6 | 6 | 6 | 3 | 4 | 9/12/89  | Reboh et al.  | 364   | 513      | 8/10/87                    |
|                   | 5               | 2 | 0 | 6 | 9 | 4 | 9 | 4/27/93  | Cochran et al | 395   | 600      | 8/7/89                     |
| ✓                 | 5               | 1 | 7 | 5 | 8 | 1 | 4 | 12/29/92 | Anick et al.  | 395   | 161      | 1/30/90                    |
|                   |                 |   |   |   |   |   |   |          |               |       |          |                            |
|                   |                 |   |   |   |   |   |   |          |               |       |          |                            |
|                   |                 |   |   |   |   |   |   |          |               |       |          |                            |

**FOREIGN PATENT DOCUMENTS**

|  | DOCUMENT NUMBER |  |  | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
|--|-----------------|--|--|------|---------|-------|----------|-------------|
|  |                 |  |  |      |         |       |          |             |
|  |                 |  |  |      |         |       |          |             |

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

|          |  |  |
|----------|--|--|
| EXAMINER |  |  |
|          |  |  |
|          |  |  |

|             |                 |
|-------------|-----------------|
| EXAMINER    | DATE CONSIDERED |
| Kast Appel. | 12/14/05        |

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.